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# CHAPTER 1

## THE INTRODUCTION TO AND OPERATING DETAILS OF THE CALTRANS SAFETY PROGRAM

### **THE CALTRANS INJURY AND ILLNESS PREVENTION PROGRAM**

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# **CHAPTER 1**

## **THE CALTRANS INJURY AND ILLNESS PREVENTION PROGRAM**

### **1.00 INTRODUCTION**

This chapter introduces the Department's Injury and Illness Prevention Program (IIPP).

#### **1.01 PURPOSE**

To describe the regulations governing the IIPP, roles and responsibilities for all employees, and the various health and safety committees.

This manual does not provide all the information necessary to fulfill the requirements of California State law, nor does it contain all the essential elements of the entire written Caltrans IIPP. For additional information, it may be necessary to consult with other departmental manuals or reference materials, e.g., training catalogs, Code of Safe Operating Practices (CSOP), Caltrans Guide to Employee Conduct and Discipline, the California Occupational Safety & Health Administration (Cal-OSHA) regulations, Labor Code requirements, Uniform Building Code regulations, the State Administrative Manual (SAM), and/or related law, rule, or policy.

For assistance in interpreting any stated policy discussed in this manual, contact departmental safety staff.

#### **1.02 POLICY**

It is Caltrans policy to conduct its business in the safest manner possible adhering to all applicable State and federal laws, rules and regulations.

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### **1.03 INJURY AND ILLNESS PREVENTION PROGRAM**

The Injury and Illness Prevention Program (IIPP) is required by Senate Bill (SB)198 enacted by the California State Legislature in July 1989. The legislation is codified in Division 5 of the Labor Code and in Title 8 of the California Code of Regulations.

Division 5, Section 6401.7 of the Labor Code mandates that every employer have a written injury and illness prevention program that includes identification of the person responsible for the implementation and enforcement of health and safety policies and procedures at each worksite and/or office. The IIPP includes procedures for:

- Evaluation of workplace hazards and performance of periodic inspections;
- Correction of unsafe or unhealthy conditions in a timely manner;
- Safety training and periodic safety meetings;
- Injury and illness investigation;
- Enforcement procedures for violations of safety regulations; and
- Appropriate record keeping procedures.

The Labor Code requires employers to provide a safe and healthful workplace for their employees. Employers must enforce health and safety policies and practices, and take appropriate disciplinary action whenever health and safety policies and practices are violated.

Title 8 of the California Code of Regulations is the social public policy of the State of California as set forth in the State Constitution. This represents State law in securing safety in all places of employment. Contained within Title 8, Section 3203 of the General Industry Safety Orders (GISO) are specific details regarding the implementation and maintenance of an effective IIPP. (Title 8 of the California Code of Regulations is also known as the Cal-OSHA Regulations.)

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## 1.04 CAL-OSHA REGULATIONS

Managers and supervisors shall perform the following six (6) major elements of State law, as required in Section 3203 of the General Industry Safety Orders (GISO), to be in substantial compliance with Cal-OSHA regulations and the Department's IIPP.

1. **Schedule meetings** with employees to discuss health and safety issues, workplace security, and emergency action plans. Meetings are required quarterly for office workers and at least every ten days for field employees.
2. **Conduct periodic worksite safety inspections** of general office areas, field offices, laboratories, shops, and adjacent work areas, etc., by means of the following types of inspections:
  - ⇒ **Informal** - In the course of normal duties: perform daily inspections to detect and eliminate physical and environmental hazards; review warning signs of potential workplace violence; write reports; and document findings and corrective actions taken.
  - ⇒ **Formal** - At least annually, conduct walk-through inspections (include all items covered in informal above) at all fixed worksites, write reports, and document findings and corrective actions taken.
  - ⇒ **Special** - Perform inspections, document findings and take corrective action in response to reports of unsafe conditions or health risks associated with new products, substances, and/or equipment, or when advised that an incident occurred involving a potential and/or actual act of violence.
3. **Investigate and document** all injuries, illnesses, and actual or alleged acts of workplace violence to identify contributing factors and prevent further occurrences.
4. **Provide training in and maintain records** of the following:
  - hazards basic to the workplace;
  - hazards unique to each job assignment;
  - workplace security hazards; and
  - use of emergency action plans.
5. **Enforce** all health and safety laws, rules, and policies by:
  - Counseling and educating employees; and
  - Initiating appropriate disciplinary action when necessary.
6. **Maintain accessible records** on health and safety matters:
  - Keep all worksite inspections and training records for at least one (1) year.

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### 1.05 ROLES AND RESPONSIBILITIES

All levels of management and supervision are responsible to ensure a safe, healthy, and secure work environment, free from violence, threats, harassment, and intimidation that may exist for employees and the public, including persons with disabilities, and that the public is protected from harm in connection with Caltrans operations.

1. The Director of the Department of Transportation is responsible for:
  - Promoting health and safety policies, procedures, and work practices through an effective IIPP;
  - Providing program direction through Headquarters and district staff.
2. Deputy Directors and Division Chiefs are responsible to:
  - Direct their managers, supervisors, and employees to comply with all elements of the Caltrans IIPP;
  - Enforce all health and safety policies, procedures, and work practices through appropriate counsel, education, and discipline;
  - Assess health and safety program policy issues and review the effectiveness of the Department's Health and Safety program;
  - Ensure that health and safety issues are routinely discussed by all levels of management at staff meetings (or other appropriate meetings);
  - Establish, if necessary, a Health and Safety liaison staff to coordinate their programs with the Headquarters Office of Health and Safety;
  - Develop, adopt, and publish health and safety policies and procedures, if necessary, to fit operational needs that are consistent with the Caltrans IIPP goals and/or Cal-OSHA regulations.
3. District Directors are responsible to:
  - Direct their managers, supervisors, and employees to comply with all elements of the Caltrans IIPP;
  - Enforce all health and safety policies and procedures through appropriate counsel, education, and discipline;
  - Assess health and safety program policy issues and analyze the effectiveness of the Department's Health and Safety program;
  - Ensure that health and safety issues are routinely discussed by all levels of management at staff meetings;

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**1.05 ROLES AND RESPONSIBILITIES (CONT.)**

- Maintain appropriate accident prevention committees;
  - Maintain a Health and Safety Office with appropriate staff;
  - Develop, adopt, and publish health and safety policies and procedures to fit operational needs.
4. Supervisors are responsible to:
- Enforce health and safety policies, regulations, and laws;
  - Instruct employees on how to locate and review the Caltrans Safety Manual;
  - Conduct safety meetings to discuss health and safety matters, workplace violence and security, specific workplace hazards, and encourage open discussions on employee concerns;
  - Consistently monitor the actions of their staff, including subordinate supervisors, and deal *immediately* with any incident relating to workplace violence. (For further information, see Chapter Six on Workplace Violence.)
  - Conduct periodic safety inspections of all worksites to identify and correct unsafe conditions/acts and document the results;
  - Investigate and document all occupational injuries, illnesses, or acts of workplace violence, and identify corrective action(s) that will prevent further occurrences;
  - Ensure that all employees receive training to cover hazards basic to all places of employment, and specific training to cover hazards unique to individual job assignments;
  - Ensure that each employee understands assigned tasks, is provided with necessary equipment, and follows all health and safety policies, procedures, and work practices;
  - Enforce all health and safety laws, rules, and policies, and initiate corrective action for employees who violate health and safety laws, rules, and policies;
  - Be free from the effects of medication, controlled substances, alcohol, or complications arising from illness or injury that might impair their judgment and/or ability to perform their work safely and efficiently;
  - Prohibit from work an employee who appears to be unable to perform his/her assigned task(s) in a safe manner;
    - ⇒ An employee who exhibits inappropriate behavior should be prohibited from working until the reason for the employee's behavior is determined, or until a medical evaluation of the employee's fitness can be completed.
  - Designate a responsible person-in-charge when they are away from the workplace;

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**1.05 ROLES AND RESPONSIBILITIES (CONT.)****4. Supervisors (CONT.)**

- Ensure that employee health and safety issues are discussed and assessed annually at the time of issuing an Individual Development Plan/Performance and Appraisal Summary, and/or at the time supervisors discuss employee probationary reports;
- Conduct pre-job meetings with employees to discuss hazards unique to their job assignment, including the hazards associated with performing pedestrian-type activities, and working near highway traffic;
- Talk to employees to improve awareness of the increasing incidence of drug- and alcohol-impaired drivers on the highways.

Supervisors are responsible to comply and enforce health and safety policies, procedures, regulations, laws or rules. Failure or neglect may be cause for discipline in accordance with the provisions described in the Department of Personnel Administration's *Guide to Employee Conduct and Discipline*.

**5. Each employee is responsible to:**

- Maintain a safe and secure work environment by complying with the Department's policy of zero tolerance for violence, threats, harassment, and intimidation in the workplace;
- Report to work mentally and physically capable to perform all assigned duties without jeopardizing the health and safety of themselves, other employees, or the public;
- Do everything reasonably necessary to protect his/her own health and safety and that of others by complying with all occupational health and safety policies, procedures, work practices, laws, rules, or regulations to ensure safety and security for all employees, including persons with disabilities;
- Conduct daily safety inspections of their worksites to identify and correct workplace hazards, and/or if unable to correct, notify his/her supervisor;
- Use equipment properly and carefully, and follow all health and safety policies, procedures, and work practices, as directed by his/her supervisor, and ask for instructions or assistance if unable to understand the assigned task;
- Notify his/her supervisor of any personal medical condition or prescribed medication which might impair their ability to perform assigned duties;
- Report to his/her supervisor any behavior by another employee that reasonably indicates they are not fit for duty;
- Be free from the effects of medication, controlled substances, alcohol, or the complications arising from illness or injury that might impair their judgment and/or ability to perform their work safely and efficiently;
- Attend safety meetings to discuss health and safety matters, workplace security and workplace violence concerns, and provide feedback to their supervisors;

- Promptly report all injuries, illnesses, unsafe conditions, unsafe acts, and incidents of workplace violence to his/her supervisor immediately. If necessary, notify building security or the California Highway Patrol regarding workplace violence incidents.

Employees are responsible to comply with health and safety policies, procedures, regulations, laws and rules or shall be disciplined in accordance with the provisions described in the Department of Personnel Administration's *Guide to Employee Conduct and Discipline*.

### **1.06 ACTING SUPERVISOR**

When a supervisor is unavailable for short periods to direct the work, he/she is required to designate an individual to be in charge. Before leaving the worksite, the supervisor shall identify who is in charge and what steps should be taken while he/she is away from the worksite.

If a supervisor leaves the worksite (office or field location) and does not designate someone, the leadperson or senior member of the work group on-site will be deemed to be in charge.

In field operations, where the safety of visitors and public is a consideration, it is especially important to have someone placed in charge during the absence of the regular supervisor.

### **1.07 RESPONSIBLE PERSON IN CHARGE**

Management must designate a responsible person in charge whenever two or more employees are assigned to work together. This responsibility is usually assigned to the designated supervisor based upon his/her civil service classification.



**1.08 DEPARTMENTAL HEALTH AND SAFETY OFFICER AND STAFF**

The Chief, Office of Health and Safety is the departmental Health and Safety Officer. This position provides advice and counsel to the Director, Deputy Directors, Division Chiefs, District Directors, and the Caltrans Health and Safety Advisory Committee.

The Health and Safety Officer is responsible to:

- Implement and monitor the Department's IIPP and related policies, procedures, and work practices;
- Provide advice to managers, supervisors, and employees regarding interpretation and implementation of Cal-OSHA regulations, Labor Code provisions, Uniform Building Code regulations, and other applicable health and safety laws, rules, or standards;
- Provide guidance to district Health and Safety Officers, the Construction safety coordinators, Maintenance managers and supervisors, and functional program safety liaison personnel regarding the Department's IIPP;
- Develop and/or recommend adoption of new or revised health and safety policies, procedures, and work practices; review, monitor, and recommend health and safety training programs;
- Inspect worksites and review operating techniques to assist in identifying unsafe work practices and/or work conditions. Recommend appropriate corrective action based on findings;
- Conduct health and safety reviews of field and office supervisors' operations, records, and files to ensure compliance with the Department's IIPP;
- Conduct independent investigations of personal injury accidents and motorized equipment/vehicle accidents, as appropriate;
- Enforce health and safety laws and policies if supervisors fail to carry out their assigned responsibilities;
- Order cessation of work if an activity, materials, equipment, process, or environmental condition presents an imminent or serious hazard to employees' safety;
- Work with State Compensation Insurance Fund (SCIF) managers, supervisors and injured employees to return injured employees to the workplace as soon as medically appropriate.

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**DEPARTMENTAL HEALTH AND SAFETY OFFICER AND STAFF, Cont.**

The following list represents an overview of safety program activities provided by the Headquarters Office of Health and Safety staff:

**OCCUPATIONAL SAFETY**

- hazardous materials
- chemicals and pesticides
- confined spaces
- ventilation
- respirator safety
- hearing and noise exposure

**EMERGENCY PLANNING**

- workplace violence
- earthquake preparedness

**FACILITY SAFETY**

- machine and tool safety
- ergonomics
- personal protective equipment
- vehicle and equipment safety

**HEALTH PROMOTION**

- worksite health screening
- health education
- nutrition and fitness
- medical self-care

**LIAISON**

- Caltrans program, offices and units
- Department of General Services
- Cal-OSHA and other agencies

**ENVIRONMENTAL HEALTH**

- biological hazards
- communicable diseases
- indoor air quality
- first aid

**INFORMATION SERVICES**

- newsletters
- Caltrans Safety Manual
- new products evaluation
- safety incentive awards
- safety training programs
- Governor's Employee Safety Award
- departmental safety advisory committee
- Safety Information Management Systems
- accident investigation, analysis, and prevention

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## **1.09 DISTRICT HEALTH AND SAFETY OFFICERS AND STAFF**

District Health and Safety Officers provide guidance and direction to district managers, supervisors, and employees on health and safety issues. They also provide counsel on matters pertaining to State law as contained in the Cal-OSHA standards, Labor Code provisions, Uniform Building Code regulations, and other applicable health and safety laws, rules, or standards.

District Health and Safety Officer are responsible to:

- Implement and monitor the Department's IIPP, policies, procedures, and work practices in their respective districts;
- Provide assistance to managers and supervisors to encourage and/or enforce employees conformity with health and safety laws, policies, procedures, and work practices to ensure compliance with the Department's IIPP;
- Monitor the districts' Hearing Protection Program to ensure that all eligible employees are enrolled in the program as described in Chapter 13 of this manual;
- Ensure that all necessary health and safety training classes and programs are provided to district employees through direct training or the utilization of train-the-trainer classes;
- In conjunction with the Headquarters Health and Safety Office, ensure that all injured employees are returned to work as soon as medically appropriate;
- Conduct investigations of personal injury accidents and motorized equipment/vehicle accidents; review and classify accidents and assign "preventability;" document findings; and prepare reports for management as needed;
- Order cessation of work if an activity, materials, equipment, process, or environmental condition presents an imminent or serious hazard to employees safety;
- Independently conduct, and provide guidance and direction to district Construction Safety Coordinators, Maintenance managers and supervisors covering operational reviews and health and safety reviews.

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## **1.10 DEPARTMENTAL HEALTH AND SAFETY ADVISORY COMMITTEE**

The Caltrans Departmental Health and Safety Advisory Committee consists of seven (7) permanent members:

- Deputy Director for Administration (permanent Chairperson)
- Chief, Office of Health and Safety (Committee Secretary)
- Chief, Division of Maintenance
- Chief, Division of Construction
- Chief, Division of Traffic Operations
- Chief Counsel for the Legal Division
- District Director (rotating basis)

The purpose of the Committee is to:

- Provide direction to the Chief, Office of Health and Safety regarding the Department's IIPP, Workers' Compensation program, and risk management and loss control;
- Provide direction to the Chief, Office of Health and Safety to ensure that work environments are safe and secure and free from Workplace Violence;
- Ensure that all legislation concerning the Department's Health and Safety program is appropriately implemented;
- Review and act on the recommendations offered by the Departmental Accident Review Team (DART). (See Chapter 19)

The Committee does not operate on a pre-scheduled basis, but rather acts proactively as an advisory board when issues arise, on a meeting-by-meeting basis, and/or as agenda or critical items may dictate.

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**1.11 DISTRICT ACCIDENT PREVENTION COMMITTEES**

Each District Director may establish a District Accident Prevention Committee (DAPC). The DAPC should be comprised of management, supervisors, and employees.

The District Director or designee should appoint a chairperson who may serve on a rotating basis. The District Health and Safety Officer shall be a permanent member and acts as co-chairperson. Members of the District Health and Safety staff shall provide assistance to committee members as required. The DAPC should meet on a regular basis to:

- Provide direction in maintaining the Department's IIPP;
- Review selected motor vehicle and personal injury accidents in order to analyze the circumstances surrounding the accidents and recommend new and/or improved work practices to prevent their recurrence; (See NOTE below)
- Review, evaluate, and recommend health and safety improvement ideas to management;
- Solicit input from employees, employee organizations, and other interested parties regarding health and safety issues;
- Ensure that district employee health and safety programs are communicated effectively to and complied with by all employees;
- Provide recognition in the form of awards, certificates, etc., for individual and group safety achievements;

**NOTE:**

The DAPC does not review accidents for the purpose of determining their classification or preventability as discussed in Chapter 18 - MOTOR VEHICLE ACCIDENTS.

**1.12 ESTABLISHING HEALTH AND SAFETY COMMITTEES**

Division Directors and Deputy District Directors may establish additional health and safety operating and/or advisory committees similar to DAPCs.–

They may also develop other applicable safety programs to maintain and/or improve employee health and safety and promote the Caltrans IIPP, provided such committees and programs complement existing programs and committees.

Contact the Headquarters Office of Health and Safety for assistance if a committee or an advisory group is being considered.